

**CUSTOMER CLAIM**

Claim Number \_\_\_\_\_

Date Received \_\_\_\_\_

**BERNARD L. MADOFF INVESTMENT SECURITIES LLC**

In Liquidation

**DECEMBER 11, 2008**

(Please print or type)

Name of Customer: The Aspen Company

Mailing Address: c/o Redstone Accounting Services, Inc., 25 Sylvan Rd. South - Building B

City: Westport State: CT Zip: 06880

Account No: 1ZA471

Taxpayer I.D. Number (Social Security No.): Redacted

**NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE SURE TO READ CAREFULLY THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.**

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1. Claim for money balances as of **December 11, 2008**:

a. The Broker owes me a Credit (Cr.) Balance of \$ 0

b. I owe the Broker a Debit (Dr.) Balance of \$ 0

c. If you wish to repay the Debit Balance,  
please insert the amount you wish to repay and  
attach a check payable to "Irving H. Picard, Esq.,  
Trustee for Bernard L. Madoff Investment Securities LLC."

If you wish to make a payment, it must be enclosed  
with this claim form.

\$ N/A

d. If balance is zero, insert "None."

None

2. Claim for securities as of **December 11, 2008**:

**PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.**

- |   | YES               | NO                |
|---|-------------------|-------------------|
| a. The Broker owes me securities        | <u>✓</u>          | <u>          </u> |
| b. I owe the Broker securities          | <u>          </u> | <u>✓</u>          |
| c. If yes to either, please list below: |                   |                   |

Date of Transaction (trade date)	Name of Security	Number of Shares or Face Amount of Bonds	
		The Broker Owes Me (Long)	I Owe the Broker (Short)

See Nov. 30, 2008 1ZA471 statements, attached hereto as Exhibit A.

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\$ 3,591,753.79 (market value of securities long, per 1ZA471-3 statement)

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\$ 125,400.00 (market value of securities long, per 1ZA471-4 statement)

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(\$ 177,080.00) (market value of securities short, per 1ZA471-4 statement)

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TOTAL: \$ 3,540,073.79

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Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

See Exhibits A and B, and documents submitted herewith.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

**PLEASE CHECK THE APPROPRIATE ANSWER FOR ITEMS 3 THROUGH 9.**

**NOTE: IF "YES" IS MARKED ON ANY ITEM, PROVIDE A DETAILED EXPLANATION ON A SIGNED ATTACHMENT. IF SUFFICIENT DETAILS ARE NOT PROVIDED, THIS CLAIM FORM WILL BE RETURNED FOR YOUR COMPLETION.**

	<u>YES</u>	<u>NO</u>
3. Has there been any change in your account since December 11, 2008? If so, please explain.		<input checked="" type="checkbox"/>
4. Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		<input checked="" type="checkbox"/>
5. Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		<input checked="" type="checkbox"/>
6. Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s).		<input checked="" type="checkbox"/>
7. Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		<input checked="" type="checkbox"/>
8. Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		<input checked="" type="checkbox"/>
9. Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		<input checked="" type="checkbox"/>

Please list the full name and address of anyone assisting you in the preparation of this claim form: Matthew A. Kupillas, Esq., Milberg LLP, One Pennsylvania Plaza, New York, NY 10119

If you cannot compute the amount of your claim, you may file an estimated claim. In that case, please indicate your claim is an estimated claim.


**IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.**

**THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.**

Date

6/8/09

Signature



Harold A. Thau \*

Date

Signature

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

**This customer claim form must be completed and mailed promptly,  
together with supporting documentation, etc. to:**

Irving H. Picard, Esq.,  
Trustee for Bernard L. Madoff Investment Securities LLC  
Claims Processing Center  
2100 McKinney Ave., Suite 800  
Dallas, TX 75201

\* Harold A. Thau is Managing Partner of The Aspen Company. Documentation showing Mr. Thau's authority as Managing Partner is attached hereto as Exhibit C.

# **EXHIBIT A**

Madoff Securities International Limited  
12 Berkeley Street  
Mayfair, London W1J 8DT  
Tel 020 7493 6222

885 Third Avenue  
New York, NY 10022  
(212) 230-2424  
800 334-1343  
Fax (212) 838-4061

BERNARD L. MADOFF  
INVESTMENT SECURITIES LLC  
New York □ London

THE ASPEN COMPANY

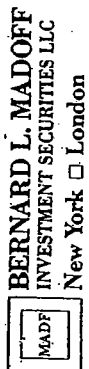
P O BOX 5106  
WESTPORT

CT 06881

PERIOD ENDING 11/30/08  
YOUR ACCOUNT NUMBER 1-ZA471-3-0  
YOUR TAX PAYER IDENTIFICATION NUMBER \*\*\*\*\*0512  
PAGE 1

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	3,192			BALANCE FORWARD		212,426.98	
11/12	2,280		1017	WELLS FARGO & CO NEW	29.800	95,248.60	
11/12	1,976		1519	HEWLETT PACKARD CO	34.900	79,663.00	
11/12	1,292		5843	WAL-MART STORES INC	55.830	110,399.08	
11/12	4,788		5845	INTERNATIONAL BUSINESS MACHS	87.270	112,803.84	
11/12	5,244		9669	EXXON MOBIL CORP	72.880	349,140.44	
11/12	2,508		10171	INTEL CORP	14.510	76,299.44	
11/12	3,420		14497	JOHNSON & JOHNSON	59.580	149,526.64	
11/12	1,824		18822	J-P. MORGAN CHASE & CO	38.530	131,908.60	
11/12	1,064		23148	COCA COLA CO	44.660	81,531.84	
11/12	1,976		27474	MCDONALDS CORP	55.370	58,955.68	
11/12	7,220		31800	MERCK & CO	28.550	56,493.80	
11/12	3,648		36126	MICROSOFT CORP	21.810	157,756.20	
11/12	1,444		40452	ORACLE CORPORATION	17.300	63,255.40	
11/12	836		53430	PEPSICO INC	56.410	81,513.04	
11/12	6,156		53932	APPLE INC	100.780	84,285.08	
11/12	1,444		57756	PFIZER INC	16.940	104,528.64	
11/12	2,736		58258	ABBOTT LABORATORIES	54.610	78,913.84	
11/12	988		62082	PROCTER & GAMBLE CO	64.080	175,431.88	
11/12	1,900		62584	AMGEN INC	59.160	58,489.08	
11/12	4,560		66408	PHILLIP MORRIS INTERNATIONAL	43.600	82,916.00	
11/12	1,520		66910	BANK OF AMERICA	21.590	98,632.40	
11/12	4,940		70734	QUALCOMM INC	33.770	51,390.40	
11/12			71236	CITI GROUP INC	12.510	61,996.40	
				CONTINUED ON PAGE 2			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES



**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York □ London

THE ASPEN COMPANY

P O BOX 5106  
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885 Third Avenue  
New York, NY 10022  
(212) 230-2424  
800 334-1343  
Fax (212) 838-4061

Affiliated with  
Madoff Securities International Limited  
12 Berkeley Street  
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Tel 020 7493 6222

PERIOD ENDING <b>11/30/08</b>	PAGE <b>2</b>
YOUR ACCOUNT NUMBER <b>1-ZA471-3-0</b>	
YOUR TAX PAYER IDENTIFICATION NUMBER <b>*****0512</b>	

DATE	BOUGHT RECEIVED OR LONG	SOLD RECEIVED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	1,140		75060	SCHLUMBERGER LTD	49.480	56,452.20	
11/12	2,736		75562	COMCAST CORP CL A	16.510	45,280.36	
11/12	5,396		79386	AT&T INC	27	145,907.00	
11/12	1,368		79888	CONOCOPHILIPS	52.510	71,887.68	
11/12	912		83712	UNITED PARCEL SVC INC CLASS B	52.040	47,496.48	
11/12	5,548		84214	CISCO SYSTEMS INC	16.730	93,039.04	
11/12	1,596		88038	U S BANCORP	29.530	47,192.88	
11/12	1,900		88540	CHEVRON CORP	73.430	139,593.00	
11/12	912		92364	UNITED TECHNOLOGIES CORP	53.160	48,517.92	
11/12	9,652		92866	GENERAL ELECTRIC CO	19.630	189,854.76	
11/12	2,584		96690	VERIZON COMMUNICATIONS	30.410	78,682.44	
11/12	228		97192	GOOGLE	337.400	76,936.20	
11/12		3,425,000	23624	U S TREASURY BILL DUE 2/12/2009	99.936		3,422,808.00
11/12				FIDELITY SPARTAN U S TREASURY MONEY MARKET DIV 11/12/08	DIV		56.19
11/12		49,932	18727	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1		49,932.00
11/12	15,524		28095	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	15,524.00	
11/19				FIDELITY SPARTAN U S TREASURY MONEY MARKET DIV 11/19/08	DIV		1.91
CONTINUED ON PAGE 3							

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BERNARD L. MADOFF  
INVESTMENT SECURITIES LLC  
New York □ London

THE ASPEN COMPANY

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CT 06881

PERIOD ENDING  
11/30/08

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YOUR ACCOUNT NUMBER  
1-2A471-3-0

YOUR TAX PAYER IDENTIFICATION NUMBER  
\*\*\*\*\*0512

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/19		15,524	53611	FIDELITY SPARTAN	1		15,524.00
11/19	225,000		58095	U S TREASURY MONEY MARKET	99.926	224,833.50	
11/19	18,389		62647	U S TREASURY BILL DUE 03/26/2009 3/26/2009	1	18,389.00	
				NEW BALANCE		424,770.66	
	5,396			SECURITY POSITIONS	MKT PRICE		
	1,444			AT&T INC	28.560		
	988			ABBOTT LABORATORIES	52.390		
	836			AMGEN INC	55.540		
	4,560			APPLE INC	92.670		
	1,900			BANK OF AMERICA	16.250		
	5,548			CHEVRON CORP	79.010		
	4,940			CISCO SYSTEMS INC	16.540		
	1,824			CITI GROUP INC	8.290		
	2,736			COCA COLA CO	46.870		
				COMCAST CORP	17.340		
				CL A			
	1,368			CONOCOPHILIPS	52.520		
	4,788			EXXON MOBIL CORP	80.150		
	9,652			GENERAL ELECTRIC CO	17.170		
				CONTINUED ON PAGE 4			

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1-ZA471-3-0

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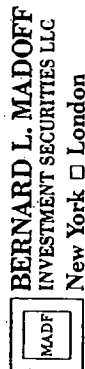
DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TURN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	228			GOOGLE	292.960		
	2,280			HEWLETT PACKARD CO	35.280		
	5,244			INTEL CORP	13.800		
	1,292			INTERNATIONAL BUSINESS MACHS	81.600		
	3,420			J.P. MORGAN CHASE & CO	31.660		
	2,508			JOHNSON & JOHNSON	58.580		
	1,064			MCDONALDS CORP	58.750		
	1,976			MERCK & CO	26.720		
	7,220			MICROSOFT CORP	20.220		
	3,648			ORACLE CORPORATION	16.090		
	1,444			PEPSICO INC	56.700		
	6,156			PFIZER INC	16.430		
	1,900			PHILLIP MORRIS INTERNATIONAL	42.160		
	2,736			PROCTER & GAMBLE CO	64.350		
	1,520			QUALCOMM INC	33.570		
	1,140			SCHLUMBERGER LTD	50.740		
	18,389			FIDELITY SPARTAN	1		
	1,596			U S TREASURY MONEY MARKET	26.980		
	912			U S BANCORP	57.600		
	225,000			UNITED PARCEL SVC INC	99.971		
				CLASS B			
				U S TREASURY BILL			
				DUE 03/26/2009			
				3/26/2009			
	912			UNITED TECHNOLOGIES CORP	48.530		
				CONTINUED ON PAGE 5			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

Exhibit B -

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

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YOUR ACCOUNT NUMBER <b>1-ZA471-4-0</b>	PERIOD ENDING <b>11/30/08</b>	PAGE <b>1</b>
YOUR TAX PAYER IDENTIFICATION NUMBER <b>*****0512</b>		

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12				BALANCE FORWARD			212,427.00
11/12	76	76	44778	S & P 100 INDEX NOVEMBER 460 CALL	15.800		120,004.00
11/12	76		49104	S & P 100 INDEX NOVEMBER 450 PUT	17.800	135,356.00	
11/19		76	35208	S & P 100 INDEX DECEMBER 430 CALL	26		197,524.00
11/19	76		39533	S & P 100 INDEX DECEMBER 420 PUT	30	228,076.00	
11/19	76		43858	S & P 100 INDEX NOVEMBER 460 CALL	3	22,876.00	
11/19		76	48183	S & P 100 INDEX NOVEMBER 450 PUT	37		281,124.00
				NEW BALANCE			424,771.00
				SECURITY POSITIONS			
		76		S & P 100 INDEX DECEMBER 430 CALL	MKT PRICE 23.300		
	76			S & P 100 INDEX DECEMBER 420 PUT	16.500		
				MARKET VALUE OF SECURITIES			
				LONG			125,400.00
				SHORT			177,080.00

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

# **EXHIBIT B**

**EXHIBIT B**

1. This Claim Form, exhibits, and supporting documentation (collectively "Claim Form") is submitted pursuant to the December 23, 2008 Order of the Honorable Burton R. Lifland and the instructions disseminated by Irving H. Picard, Trustee for Bernard L. Madoff Investment Securities LLC ("Trustee"), on December 11, 2008.
2. The information provided in the Claim Form is based on the information provided in the Claimant's latest Madoff account statement and any additional information known by the Claimant as of the date of the submission of the Claim Form. The Claimant reserves the right to amend and/or supplement this Claim Form upon the receipt of further information, or upon request by the Trustee for additional information.
3. The Claimant reserves the right to amend the Claim Form in the event of any recoveries by the Trustee or any other party under the avoidance powers of the Bankruptcy Code or otherwise, or in the event of rejections of executory contracts pursuant to Bankruptcy Code Section 365, whether such amendments are made pursuant to Bankruptcy Code Sections 105, 502(g), or 502(h), Bankruptcy Rule 3002(c)(3), (4), other provisions of applicable bankruptcy law, or general principles of law and equity.
4. The Claimant hereby requests that the Claim Form be considered as a proof of claim in *In re Bernard L. Madoff Investment Securities LLC*, No. 08-01789 (Bankr. S.D.N.Y.).
5. This Claim Form is required to be submitted pursuant to the Court's January 2, 2009 Order and the Trustee's instructions to the Claimant. To the extent permitted by the applicable law, the Claimant does not consent to the jurisdiction of the Bankruptcy Court nor does Claimant waive any right to trial by jury.
6. The Claimant reserves all rights, claims, and/or defenses as to and/or against any and all parties potentially liable for the losses sustained by the Claimant, including, without limitation, Bernard L. Madoff Investment Securities LLC and its owners, partners, employees, and affiliates, as well as any potentially liable third parties including, without limitation, investment advisors, "feeder funds," accountants, and auditors.
7. The Claimant further reserves all rights, claims, and/or defenses as to and/or against any persons and/or creditors asserting claims against Bernard L. Madoff Investment Securities LLC, its employees, owners, and/or affiliates, in bankruptcy or otherwise.
8. The Claimant reserves all objections as to the competence, relevance, materiality, privilege, or admissibility of evidence in any subsequent proceeding or trial of this or any other action for any purpose whatsoever, notwithstanding the submission of any such information to the Trustee.
9. To the extent the Claimant has disclosed to the Trustee documents containing accounting and/or legal advice, the Claimant does not waive any potential privileges applicable thereto.

10. The Claimant reserves all rights with respect to submitting information to the Internal Revenue Service regarding gains, losses, and/or theft of assets.
11. The Claim Form and supporting documents contain confidential information. The Claimant submits this information to the Trustee subject to the condition that this information will not to be disclosed to any third parties, other than under seal to the Court, absent the Claimant's express consent or Court order.
12. During the lifetime of the account, the Claimant may have contributed and/or withdrawn sums of money. The Claimant's final account balance set forth in Exhibit A takes into account any such contributions and/or withdrawals. Claimant continues to search for additional documents relating to such contributions or withdrawals and reserves the right to supplement this submission if additional documents are found.
13. The Claimant submits herewith documents in support of the Claimant's claim. The Claimant reserves any arguments that such documents are not relevant to the Trustee's inquiry. The Claimant further reserves the right to supplement this submission, including the submission of additional documents if deemed necessary. Below is a list of the documents submitted herewith:

**2008**

- BMIS account statements for time period ending 11/30/08.
- BMIS account statements for time period ending 10/31/08.
- BMIS account statements for time period ending 09/30/08.

# **EXHIBIT C**



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Customer Claim

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8606780513

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Dpmdptpdugg

8606780513

p. 2

<b>1065</b> Form 1065 Department of the Treasury Internal Revenue Service		<b>U.S. Return of Partnership Income</b> For calendar year 2007, or tax year beginning _____ and ending _____		OMB No. 1545-0047 <b>2007</b>
<b>A</b> Principal business activity <b>INVESTMENTS</b>		<b>Name of partnership</b> <b>THE ASPEN COMPANY</b> <b>C/O HAROLD A. THAU</b>		<b>D</b> Employer identification number Redacted
<b>B</b> Principal product or service <b>INVESTMENTS</b>		<b>Number, street, and room or suite no. If a P.O. box, see the instructions.</b> <b>0536 MEADOWOOD DRIVE</b> <b>City or town, state, and ZIP code</b> <b>ASPEN, CO 81611-3318</b>		<b>E</b> Date business started <b>03/01/1982</b>
<b>C</b> Business code number <b>523900</b>		<b>Total assets</b> <b>\$ 3,689,249.</b>		
<b>G</b> Check applicable boxes: (1) <input type="checkbox"/> Initial return (2) <input type="checkbox"/> Final return (3) <input type="checkbox"/> Name change (4) <input type="checkbox"/> Address change (5) <input type="checkbox"/> Amended return <b>H</b> Check accounting method: (1) <input checked="" type="checkbox"/> Cash (2) <input type="checkbox"/> Accrual (3) <input type="checkbox"/> Other (specify) _____ <b>I</b> Number of Schedules K-1. Attach one for each person who was a partner at any time during the tax year _____ <b>J</b> Check if Schedule M-3 attached <input type="checkbox"/>				

Caution: Include only trade or business income and expenses on lines 12 through 22 below. See the instructions for more information.

Income	1 a Gross receipts or sales	1a	97,415.	1c	97,415.
	b Less returns and allowances	1b			
	2 Cost of goods sold (Schedule A, line 8)	2	17,314.		
	3 Gross profit. Subtract line 2 from line 1c	3	80,101.		
	4 Ordinary income (loss) from other partnerships, estates, and trusts (attach schedule)	4	SEE STATEMENT 1		<30,027.>
	5 Net farm profit (loss) (attach Schedule F (Form 1040))	5			
	6 Net gain (loss) from Form 4797, Part II, line 17 (attach Form 4797)	6			
7 Other income (loss) (attach schedule)	7	SEE STATEMENT 2		266.	
8 Total income (loss). Combine lines 3 through 7	8			50,340.	
Deductions (see instructions for limitations)	9 Salaries and wages (other than to partners) (less employment credits)	9			
	10 Guaranteed payments to partners	10			
	11 Repairs and maintenance	11			
	12 Bad debts	12			
	13 Rent	13			
	14 Taxes and licenses	14			
	15 Interest	15			
	16 a Depreciation (if required, attach Form 4562)	16a	1,424.		
	b Less depreciation reported on Schedule A and elsewhere on return	16b			1,424.
	17 Depletion (Do not deduct oil and gas depletion.)	17			
	18 Retirement plans, etc.	18			
	19 Employee benefit programs	19			
20 Other deductions (attach schedule)	20	SEE STATEMENT 3		127,201.	
21 Total deductions. Add the amounts shown in the far right column for lines 9 through 20	21			128,625.	
22 Ordinary business income (loss). Subtract line 21 from line 8	22			<78,285.>	

<b>Sign Here</b> Signature of general partner or limited liability company member/manager _____ Date _____	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than general partner or limited liability company member) is based on all information of which preparer has any knowledge. May the IRS discuss this return with the preparer shown below? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Preparer's name (print) _____ Preparer's SSN or EIN _____ Redacted
<b>Paid Preparer's Use Only</b> Firm's name (or yours if self-employed), address, and ZIP code <b>HOLTZ RUBENSTEIN ROKHIN &amp; LLP</b> <b>125 BAYLIS ROAD</b> <b>MELVILLE, NY 11747-3823</b>	Date _____ Check the box that applies: <input type="checkbox"/> Sole proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company (LLC) <input type="checkbox"/> Other _____ EIN _____ Phone no. 631-752-7400

For Privacy Act and Paperwork Reduction Act Notice, see separate instructions.

Form 1065 (2007)

**DOCUMENTS SUBMITTED  
WITH THE CLAIM OF  
THE ASPEN COMPANY  
(Account no. 1ZA471)**

12 Berkeley Street  
Mayfair, London W1J 8DT  
Tel 020 7493 6222

(212) 230-2424  
800 394-1343  
Fax (212) 838-4061

NEW YORK ☐ LONDON

THE ASPEN COMPANY

P O BOX 5106  
WESTPORT

CT 06881

DATE	BOUGHT RECEIVED OR LONG	SOLD DEEMED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/02				BALANCE FORWARD		78,388.75	
9/02				CHECK	CM		
9/02				FIDELITY SPARTAN	DIV		
9/02				U S TREASURY MONEY MARKET			
9/02				DIV 09/02/08			
9/02				WAL-MART STORES INC			
9/02				DIV 8/15/08 9/02/08			
9/02				FIDELITY SPARTAN			
9/02				U S TREASURY MONEY MARKET			
9/02				FIDELITY SPARTAN			
9/02				U S TREASURY MONEY MARKET			
9/02				JOHNSON & JOHNSON			
9/02				DIV 8/26/08 9/09/08			
9/02				UNITED PARCEL SVC INC			
9/02				GLASS B			
9/10				DIV 8/25/08 9/09/08			
9/10				FIDELITY SPARTAN			
9/10				U S TREASURY MONEY MARKET			
9/10				DIV 09/10/08			
9/10				CHEVRON CORP			
9/10				DIV 8/19/08 9/10/08			
9/10				UNITED TECHNOLOGIES CORP			
9/10				DIV 8/15/08 9/10/08			
9/10				FIDELITY SPARTAN			
9/10				U S TREASURY MONEY MARKET			
9/10				CONTINUED ON PAGE 2			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

PAGE: 1

PERIOD ENDING: 9/30/08

YOUR ACCOUNT NUMBER: 1-ZA471-3-0

YOUR TAX PAYER IDENTIFICATION NUMBER: \*\*\*\*\*0512

08-01-09-cgm-3 Doc# 422-2 Filed 09/24/09 Entered 09/24/09 10:31:23 Exhibit B -

New York London

THE ASPEN COMPANY

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PERIOD ENDING  
9/30/08  
YOUR ACCOUNT NUMBER  
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YOUR TAX PAYER IDENTIFICATION NUMBER  
\*\*\*\*\*0512  
PAGE  
2

DATE	AMOUNT RECEIVED OR LONG	AMOUNT DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/10	6,838		89543	FIDELITY SPARTAN	1	6,838.00	
9/11				U S TREASURY MONEY MARKET			
9/11	29,522		94679	MICROSOFT CORP			631.82
9/16				DIV 8/21/08 9/11/08	1	29,522.00	
9/17				FIDELITY SPARTAN			
9/17				U S TREASURY MONEY MARKET			
9/17				MCDONALDS CORP			
9/17		2,842	10672	DIV 9/02/08 9/16/08			
9/17		638	11867	ORACLE CORPORATION			
9/17		1,160	14970	APPLE INC			
9/17		1,102	16165	PERSICO INC			
9/17		4,872	19268	ABBOTT LABORATORIES			
9/17		1,914	20430	PFIZER INC			
9/17		2,204	23566	AMERICAN INTL GROUP INC			
9/17		812	24713	PROCTER & GAMBLE CO			
9/17		1,508	27864	AMGEN INC			
9/17		3,422	29010	PHILLIP MORRIS INTERNATIONAL			
9/17		1,160	32162	BANK OF AMERICA			
9/17		4,002	33308	QUALCOMM INC			
9/17		870	36460	CITI GROUP INC			
9/17		1,102	37606	SCHLUMBERGER LTD			
9/17		4,408	40758	CONOCOPHILIPS			
9/17		4,292	41904	AT&T INC			
9/17		754	45039	CISCO SYSTEMS INC			
				UNITED PARCEL SVC INC			
				CLASS B			
				CONTINUED ON PAGE 3			

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**BERNARD L. MADOFF**  
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New York □ London

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PERIOD ENDING <b>9/30/08</b>	PAGE <b>3</b>
YOUR ACCOUNT NUMBER <b>1-ZA471-3-0</b>	
YOUR TAX PAYER IDENTIFICATION NUMBER <b>*****0512</b>	

08-01789

DATE	BOUGHT RECEIVED OR LONG	SELL DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/17		1,450	46202	CHEVRON CORP	83.210		120,596.50
9/17		696	49286	UNITED TECHNOLOGIES CORP	63.720		44,322.75
9/17		7,250	50500	GENERAL ELECTRIC CO	27.440		198,650.08
9/17		2,088	53575	VERIZON COMMUNICATIONS	34.570		72,099.16
9/17		174	54798	GOOGLE	432.200		75,196.80
9/17		2,494	57873	WELLS FARGO & CO NEW	33.390		83,175.69
9/17		290	59096	GOLDMAN SACHS GROUP INC	154.700		44,852.08
9/17		1,682	62171	WAL-MART STORES INC	62.470		105,007.50
9/17		1,798	63394	HEWLETT PACKARD CO	46.880		84,219.20
9/17		3,770	66469	EXXON MOBIL CORP	76.080		286,671.60
9/17		986	67692	INTERNATIONAL BUSINESS MACHS	118.800		117,097.80
9/17		4,176	71990	INTEL CORP	19.970		83,227.22
9/17		2,030	76288	JOHNSON & JOHNSON	71.150		144,353.50
9/17		2,552	80585	J.P. MORGAN CHASE & CO	40.930		104,351.36
9/17		1,450	84883	COCA COLA CO	53.790		77,937.56
9/17		812	89181	MCDONALDS CORP	64.430		52,285.10
9/17		1,566	93479	MERCK & CO	34.160		53,432.58
9/17		5,742	97777	MICROSOFT CORP	27.420		157,216.61
9/17	3,425,000		84987	U S TREASURY BILL DUE 2/12/2009	99.511	3,408,251.75	
9/17	4,221		89285	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	4,221.00	
9/19				AMERICAN INTL GROUP INC DIV 9/05/08 9/19/08	DIV		
				CONTINUED ON PAGE 4			

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Page 1 of 34

**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York □ London

THE ASPEN COMPANY

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WAGG SECURITIES INTERNATIONAL LIMITED  
12 Berkeley Street  
Mayfair, London W1J 8DT  
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PERIOD ENDING: **9/30/08** PAGE: **4**

YOUR ACCOUNT NUMBER: **1-7A471-3-0**

YOUR TAX PAYER IDENTIFICATION NUMBER: **\*\*\*\*\*0512**

DATE	BOUGHT RECEIVED OR LONG	IF SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/26							2,190.08
9/26				BANK OF AMERICA DIV 9/05/08 9/26/08	DIV		
9/26				QUALCOMM INC DIV 8/29/08 9/26/08	DIV		185.60
9/30				PEPSICO INC DIV 9/05/08 9/30/08	DIV		493.00
9/30	7,064		97406	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	7,064.00	
				NEW BALANCE SECURITY POSITIONS	MKT PRICE	212,426.92	
	47,645			FIDELITY SPARTAN U S TREASURY MONEY MARKET	1		
	3,425,000			U S TREASURY BILL DUE 2/12/2009	99.610		
				2/12/2009			
				MARKET VALUE OF SECURITIES LONG			
				3,459,287.50			
				MARKET VALUE OF SECURITIES SHORT			

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Exhibit B -

Pg 23 of 34

**12 Berkeley Street  
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PAGE 2

80/03/16  
PERIOD-ENDING

YOUR TAXPAYER IDENTIFICATION NUMBER  
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YOUR ACCOUNT NUMBER  
1-ZA471-3-0

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRF	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
				YEAR-TO-DATE SUMMARY			
				DIVIDENDS			
				GROSS PROCEEDS FROM SALES			

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 Customer Claim Pg 23 of 34

1739-cgr-16,610,106.27

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**BERNARD L. MADOFF**  
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THE ASPEN COMPANY

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PERIOD ENDING:  
9/30/08

YOUR ACCOUNT NUMBER:  
1-ZA471-4-0

YOUR TAX PAYER IDENTIFICATION NUMBER:  
\*\*\*\*\*0512

DATE	BOUGHT RECEIVED/DELIVERED	SOLD DELIVERED/ON-SHARE	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/10	58		74540	BALANCE FORWARD	1-050	6,148.00	78,389.00
9/11		58	79065	S & P 100 INDEX SEPTEMBER 600 CALL	5-100		29,522.00
9/17		58	2076	S & P 100 INDEX SEPTEMBER 600 CALL	20		115,942.00
9/17	58		6374	S & P 100 INDEX SEPTEMBER 590 PUT	-900	5,278.00	
				NEW BALANCE			212,420.00

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ALLIANCE WITH  
Madoff Securities International Limited  
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1-74471-3-0

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10/31/08

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YOUR TAXPAYER IDENTIFICATION NUMBER  
\*\*\*\*\*0512

DATE	BOUGHT RECEIVED	PAID DELIVERED	PRICE	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
10/01				BALANCE FORWARD		212,426.92	
10/01				EDGA COLA CO DIV 9/15/08 10/03/08	DIV		551.00
10/01				HEWLETT PACKARD CO DIV 9/10/08 10/01/08	DIV		143.80
10/03				MERCK & CO DIV 9/05/08 10/01/08	DIV		595.00
10/10				SCHLUMBERGER LTD DIV 9/03/08 10/03/08	DIV		182.70
10/31	2,287		9903	PHILIP MORRIS INTERNATIONAL DIV 9/15/08 10/10/08	DIV		814.02
				FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	2,287.00	
				NEW BALANCE		212,426.98	
	49,932			SECURITY POSITIONS FIDELITY SPARTAN	MKT PRICE		
	3,425,000			U S TREASURY MONEY MARKET U S TREASURY BILL DUE 2/12/2009	99.879		
				MARKET VALUE OF SECURITIES LONG SHORT			
							3,470,787.75

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

Exhibit B -

**PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES**



BERNARD L. MADOFF INVESTMENT SECURITIES LIMITED  
12 Berkeley Street  
Mayfair, London W1J 8DT  
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0001 11TH AVENUE  
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BERNARD L. MADOFF  
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THE ASPEN COMPANY

P O BOX 5106  
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CT 06881

PERIOD ENDING  
**11/30/08**

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**1**

YOUR ACCOUNT NUMBER  
**1-7A471-3-0**

YOUR TAX PAYER IDENTIFICATION NUMBER  
**\*\*\*\*\*0512**

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	3,192		1017	BALANCE FORWARD		212,426.98	
11/12	2,280		1519	WELLS FARGO & CO NEW	29.800	95,248.60	
11/12	1,976		5343	HEWLETT PACKARD CO	34.900	79,663.00	
11/12	1,292		5845	WAL-MART STORES INC	55.830	110,395.08	
11/12	4,788		9669	INTERNATIONAL BUSINESS MACHS	87.270	112,803.84	
11/12	5,244		10171	EXXON MOBIL CORP	72.880	349,140.44	
11/12	2,508		14497	INTEL CORP	14.510	76,299.44	
11/12	3,420		18822	JOHNSON & JOHNSON	59.580	149,526.64	
11/12	1,824		23148	J.P. MORGAN CHASE & CO	38.530	131,908.60	
11/12	1,064		27474	PEDECA COLA CO	24.660	81,531.84	
11/12	1,976		31800	MCDONALDS CORP	55.370	58,955.68	
11/12	7,220		36126	MERCK & CO	28.550	56,493.80	
11/12	3,648		50452	MICROSOFT CORP	21.810	157,756.20	
11/12	1,444		53430	ORACLE CORPORATION	17.300	63,255.40	
11/12	836		53932	PEPSICO INC	56.410	81,513.04	
11/12	6,156		57756	APPLE INC	100.780	84,285.08	
11/12	1,444		58258	PFIZER INC	16.940	104,528.64	
11/12	2,736		62082	ABBOTT LABORATORIES	54.610	78,913.84	
11/12	988		62584	PROCTER & GAMBLE CO	64.080	175,431.88	
11/12	1,900		66408	ANGEN INC	59.160	58,489.08	
11/12	4,560		66910	PHILLIP MORRIS INTERNATIONAL	43.600	82,916.00	
11/12	1,520		70734	BANK OF AMERICA	21.590	98,632.40	
11/12	4,940		71236	QUALCOMM INC	33.770	51,390.40	
				CITI GROUP INC	12.510	61,996.40	
				CONTINUED ON PAGE 2			

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BERNARD L. MADOFF  
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THE ASPEN COMPANY

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PERIOD ENDING  
11/30/08

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YOUR ACCOUNT NUMBER  
1-ZA471-3-0

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	1,140		75060	SCHLUMBERGER LTD	49.480	56,452.20	
11/12	2,736		75562	COMCAST CORP	16.510	45,280.36	
11/12	5,396		79386	CL A INC	27	145,907.00	
11/12	1,368		79888	CONOCOPHILIPS	52.510	71,887.68	
11/12	912		83712	UNITED PARCEL SVC INC	52.040	47,496.48	
11/12	5,548		84214	CLASS B			
11/12	1,596		88038	CISCO SYSTEMS INC	16.730	93,039.04	
11/12	1,900		88540	U S BANCORP	29.530	47,192.88	
11/12	912		92364	CHEVRON CORP	73.430	139,593.00	
11/12	9,652		92866	UNITED TECHNOLOGIES CORP	55.160	48,517.92	
11/12	2,584		96690	GENERAL ELECTRIC CORP	19.630	189,854.76	
11/12	228		97192	VERIZON COMMUNICATIONS	30.410	78,682.44	
11/12			23624	GOOGLE	337.400	76,936.20	
11/12				U S TREASURY BILL	99.936		3,422,808.00
11/12				DUE 2/12/2009			
11/12				2/12/2009			
11/12				FIDELITY SPARTAN	DIV		56.19
11/12				U S TREASURY MONEY MARKET			
11/12		49,932	18727	DIV 11/12/08	1		49,932.00
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				DIV 11/19/08	DIV		1.91
11/12				CONTINUED ON PAGE 3			

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THE ASPEN COMPANY

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PERIOD ENDING **11/30/08** **PAGE 3**

YOUR ACCOUNT NUMBER **1-ZA471-3-0** YOUR TAX PAYER IDENTIFICATION NUMBER **\*\*\*\*\*0512**

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/19		15,524	53611	FIDELITY SPARTAN	1		15,524.00
11/19	225,000		58095	U S TREASURY MONEY MARKET	99.926	224,833.50	
11/19	18,389		62647	U S TREASURY BILL DUE 03/26/2009 3/26/2009	1	18,389.00	
				FIDELITY SPARTAN		424,770.66	
				U S TREASURY MONEY MARKET			
				NEW BALANCE			
	5,396			SECURITY POSITIONS	MKT PRICE		
	1,444			AT&T INC	28.580		
	988			ABBOTT LABORATORIES	52.390		
	836			AMGEN INC	55.540		
	4,560			APPLE INC	92.670		
	1,900			BANK OF AMERICA	16.250		
	5,548			CHEVRON CORP	79.010		
	4,940			CISCO SYSTEMS INC	16.540		
	1,824			CITI GROUP INC	8.290		
	2,736			CDCA COLA CO	46.870		
				COMCAST CORP	17.340		
				CL A			
	1,368			CONGOCOPHILIPS	52.520		
	4,788			EXXON MOBIL CORP	80.150		
	9,652			GENERAL ELECTRIC CO	17.170		
				CONTINUED ON PAGE 4			

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MAOF  
DEKUNAKU L. MADOFF  
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YOUR ACCOUNT NUMBER  
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PERIOD ENDING  
11/30/08

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4

YOUR TAXPAYER IDENTIFICATION NUMBER  
\*\*\*\*\*0512

DATE	QUANTITY BOUGHT RECEIVED-ON LONG	SOLD DELIVERED-ON SHORT	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	228		GOOGLE	292.960		
	2,280		HEWLETT PACKARD CO	35.280		
	5,244		INTEL CORP	13.800		
	1,292		INTERNATIONAL BUSINESS MACHS	81.600		
	3,420		J.P. MORGAN CHASE & CO	31.660		
	2,508		JOHNSON & JOHNSON	58.580		
	1,064		MCDONALDS CORP	58.750		
	1,976		MERCK & CO	26.720		
	7,220		MICROSOFT CORP	20.220		
	3,648		ORACLE CORPORATION	16.090		
	1,444		PEPSICO INC	56.700		
	6,156		PFIZER INC	16.430		
	1,900		PHILLIP MORRIS INTERNATIONAL	42.160		
	2,736		PROCTER & GAMBLE CO	64.350		
	1,520		QUALCOMM INC	33.570		
	1,140		SCHLUMBERGER LTD	50.740		
	18,389		FIDELITY SPARTAN	1		
			U S TREASURY MONEY MARKET			
	1,596		U S BANCORP	26.980		
	912		UNITED PARCEL SVC INC	57.600		
			CLASS B			
	225,000		U S TREASURY BILL	99.971		
			DUE 03/26/2009			
	912		3/26/2009			
			UNITED TECHNOLOGIES CORP	48.530		
			CONTINUED ON PAGE 5			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES



12 Berkeley Street  
Mayfair, London W1J 8DT  
Tel 020 7493 6222

New York, NY 10022  
(212) 230-2424  
800 334-1343  
Fax (212) 838-4061

DEKUNARD L. MADOFF  
INVESTMENT SECURITIES LLC  
New York □ London

THE ASPEN COMPANY

P O BOX 5106  
WESTPORT

CT 06881

PERIOD ENDING  
**11/30/08**

PAGE  
**5**

YOUR ACCOUNT NUMBER  
**1-2A471-3-0**

YOUR TAX PAYMENT IDENTIFICATION NUMBER  
**\*\*\*\*\*0512**

DATE	BOUGHT RECEIVED FOR LONG	SOLD DELIVERED ON SHORT	TRIN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	2,584			VERIZON COMMUNICATIONS	32.650		
	1,976			WAL-MART STORES INC	55.880		
	3,192			WELLS FARGO & CO NEW	28.890		
				MARKET VALUE OF SECURITIES			
				LONG			
				SHORT			
				3,591,753.79			
				VERIZON COMMUNICATIONS			
				WAL-MART STORES INC			
				WELLS FARGO & CO NEW			
				MARKET VALUE OF SECURITIES			
				LONG			
				SHORT			
				3,591,753.79			

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**B -**

**PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES**

Madoff Securities International Limited  
12 Berkeley Street  
Mayfair, London W1J 8DT  
Tel 020 7493 6222

885 Third Avenue  
New York, NY 10022  
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**BERNARD L. MADOFF**  
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THE ASPEN COMPANY

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WESTPORT

CT 06881

PAGE  
1

PERIOD ENDING  
11/30/08

YOUR TAX PAYER IDENTIFICATION NUMBER  
\*\*\*\*\*0512

YOUR ACCOUNT NUMBER  
1-ZA471-4-0

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT CREDITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12				BALANCE FORWARD		212,427.00	
11/12	76		44778	S & P 100 INDEX NOVEMBER 460 CALL	15.800		120,004.00
11/19			49104	S & P 100 INDEX NOVEMBER 450 PUT	17.800	135,356.00	
11/19	76		35208	S & P 100 INDEX DECEMBER 430 CALL	26		197,524.00
11/19			39533	S & P 100 INDEX DECEMBER 420 PUT	30	228,076.00	
11/19	76		43658	S & P 100 INDEX NOVEMBER 460 CALL	37	22,876.00	
11/19			48183	S & P 100 INDEX NOVEMBER 450 PUT			281,124.00
				NEW BALANCE			424,771.00
				SECURITY POSITIONS			
				S & P 100 INDEX DECEMBER 430 CALL	MKT PRICE 23.300		
	76			S & P 100 INDEX DECEMBER 420 PUT	16.500		
				MARKET VALUE OF SECURITIES			
				LONG			
				SHORT			
				125,400.00			
				177,080.00			

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